



Finanzdienstleistungsgesetz, Beraterregister
Loi sur les services financiers, Registre des conseillers
Legge sui servizi finanziari, Registro dei consulenti

Confirmation

Financial services by means of software-based applications

_____ (NAME of Company) provides software-based financial services within the meaning of Art. 3 lit. c FiNSA, without any direct provision of financial services by natural persons. In order to fulfil the requirements pursuant to Art. 28 para. 1 FinSA, the following person(s) shall be registered as substitutes:

(1) _____ (Name, Function, Position)

(2) _____ (Name, Function, Position)

The person(s) to be registered as substitute(s) shall fulfil all the requirements for registration in the client advisor register.

I/we, the undersigned, confirm that the amount of coverage of the professional liability insurance pursuant to Art. 29 FinSA and Art. 32 FinSO corresponds to the amount that would result if the financial services of _____ (NAME of Company) were not provided by software-based applications but by natural persons instead.

(Place, Date)

(Name, Function/Position)

(Name, Function/Position)